

UTILITY PATENT APPLICATION TRANSMITTAL

Only for new nonprovisional applications under 37 C.F.R. 1.53(b)(1)

Attorney Docket No. 8594-002-64 DIV

First Inventor or Application Identifier Anthony BEVERINA

Title METHOD AND APPARATUS FOR RISK MANAGEMENT

APPLICATION ELEMENTS

See MPEP chapter 800 concerning utility patent application contents

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g. PTO/SB/17)
(Submit an original and a duplicate for fee processing)

☒ Applicant claims small entity status.

2. ☒ Specification Total Pages 76

3. ☒ Drawing(s) (35 U.S.C. 113) Total Sheets 53

4. ☒ Oath or Declaration Total Pages 3

a. ☐ Newly executed (original or copy)

b. ☒ Copy from a prior application (37 C.F.R. §1.63(d))
(for continuation/divisional with box 16 completed)

5. ☒ Incorporation By Reference (usable if box 4B is checked)
The entire disclosure of the prior application, from which a copy of the
oath or declaration is supplied under Box 4B, is considered to be part
of the disclosure of the accompanying application and is hereby
incorporated by reference therein.

ACCOMPANYING DOCUMENTS

6. ☐ Assignment Papers (cover sheet & document(s))
7. ☐ 37 C.F.R. §3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)

8. ☐ English Translation Document (if applicable)

9. ☒ Information Disclosure
Statement (IDS)/PTO-1449 ☐ Copies of IDS
Citations

10. ☒ Preliminary Amendment

11. ☒ White Advance Serial No. Postcard

12. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)

13. ☐ Request for Priority

14. ☐ List of Inventors' Names and Addresses

15. ☒ Other: Letter to Official Draftsman
Formal Drawings (53 Sheets)

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application no.: 09/453,509

Prior application information: Examiner: S. BRODA Group Art Unit: 2123

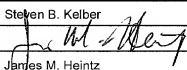
17. Amend the specification by inserting before the first line the sentence:

☒ This application is a ☐ Continuation ☒ Division ☐ Continuation-in-part (CIP)
of application Serial No. 09/453,509 Filed on December 3, 1999

☐ This application claims priority of provisional application Serial No. Filed

18. CORRESPONDENCE ADDRESS

Supervisor, Patent Prosecution Services
PIPER MARBURY RUDNICK & WOLFE LLP
1200 Nineteenth Street, N.W.
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Name	Steven B. Kelber	Registration No.	30,073
Signature		Date	5/14/01
Name	James M. Heintz	Registration No.	41,828

10997 U.S. PTO
09/453509

05/14/01

FEE TRANSMITTAL

Docket No.	8594-002-64 DIV
Serial No.	New Application
Filing Date	Herewith
Inventor(s)	Anthony BEVERINA, et al.
Group Art Unit	
Examiner	

TOTAL AMOUNT OF PAYMENT \$355.00

1. Applicant claims small entity status.

- ☐ Charge any **UNDERPAYMENT** or credit any **OVERPAYMENT** in the indicated fees to Deposit Account No. 50-1442.
- ☐ Charge the indicated fees to Deposit Account No. 50-1442.

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
405	130	205	65	Surcharge-late filing fee or oath	

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	355	201	177.50	Utility filing fee	355.00
105	160	206	80	Design filing fee	
107	245	207	122.50	Plant filing fee	
108	355	208	177.50	Reissue filing fee	
114	75	214	37.50	Provisional filing fee	
SUBTOTAL (1)					\$355.00

2. EXTRA CLAIM FEES

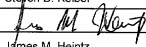
tot. claims	20	-	20*	=	0	x	\$9	=	0
ind. claims	1	-	3*	=	0	x	\$40	=	0
<input type="checkbox"/> Multiple Dependent Claims					\$135	=			

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
103	180	203	90	Claims in excess of 20	
102	60	202	30	Independent claims in excess of 3	
104	270	204	135	Multiple dependent claim, if not paid	
109	40	209	20	*Reissue independent claims over original patent	
110	18	210	9	*Reissue claims in excess of 20 and over original patent	

147	2520	147	2520	Ex parte reexam fee	
115	110	215	55	1-mo ext. of time	
116	195	216	97.50	2-mo ext. of time	
117	345	217	172.50	3-mo ext. of time	
118	695	218	347.50	4-mo ext. of time	
128	945	228	472.50	5-mo ext. of time	
119	155	219	77.50	Notice of Appeal	
120	155	220	77.50	Appeal Brief	
121	135	221	67.50	Request for Oral Hearing	
142	620	242	310	Utility/Reissue Issue Fee	
143	220	243	110	Design Issue Fee	
144	300	244	150	Plant Issue Fee	
122	130	222	65	Petitions to the Commissioner	
126	180	226	90	IDS Submission	
181	40	281	20	Assignment	
179	355	279	177.50	For Filing RCE	
189	900	289	450	Expedited Design	
OTHER (indicate below)					
SUBTOTAL (2)					\$0.00

* or number previously paid, if greater, For REISSUES, see above

SUBTOTAL (3) \$0.00

Name	Steven B. Kelber	Registration No.	30,073
Signature		Date	5/19/01
Name	James M. Heintz	Telephone	202-861-3900
		Registration No.	41,828

DOCKET NO. 8594-002-64 DIV

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: Anthony BEVERINA, et al. ART UNIT:
SERIAL NO.: New Application EXAMINER:
FILING DATE: Herewith
FOR: METHOD AND APPARATUS FOR RISK MANAGEMENT

LETTER TO OFFICIAL DRAFTSMAN

ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

SIR:

It is requested that the enclosed **53** sheets of Formal Drawings comprising Figures **1-53** be entered to replace the Informal Drawings filed with the application.

Respectfully submitted,

PIPER MARBURY RUDNICK & WOLFE LLP

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